



DEPARTMENT OF THE TREASURY
FINANCIAL MANAGEMENT SERVICE
HYATTSVILLE, MD 20782

September 12, 1994

MANUAL OF ADMINISTRATION TRANSMITTAL SHEET NO. 253

TO: Directors, Managers and Supervisors

Material Transmitted:

Part II
Chapters 6000, 6100, 6200 and Exhibits - Records
Management Program

Comments

MOA Chapters 6000, 6100, 6200 and Exhibits prescribe
procedures for records management.

Filing Instructions:

Insert Part II, Chapters 6000, 6100, 6200 and Exhibits
September 1994

Effective Date:

Upon Issuance.

Bland T. Brockenborough
Bland T. Brockenborough
Assistant Commissioner
Management

US DEPT. OF THE TREASURY
FINANCIAL MANAGEMENT SERVICE
HYATTSVILLE MD
Room 513 B
REPORTS MANAGEMENT DIVISION LIBRARY

MANUAL OF ADMINISTRATION
PART II - GENERAL ADMINISTRATION
CHAPTER 6200 - DISPOSITION OF FMS RECORDS

TABLE OF CONTENTS

		Page
6200-01	PURPOSE	1
6200-02	RETIREMENT OF RECORDS	1
6200-03	RECORDS RETENTION AND DISPOSAL SCHEDULES	1
6200-04	PREPARATION AND APPLICATION OF DISPOSAL LISTS AND SCHEDULES	2
6200-05	DISPOSITION OF BUREAU RECORDS	3
6200-06	DISPOSITION OF SPECIAL RECORDS	4
6200-07	PREPARATION OF TRANSFER FORMS Accession Number Requirements for Completing SF-135 Requirements for Completing TFS Form 28	5
6200-08	DISTRIBUTION OF SF-135 AND TFS FORM 28	8
6200-09	RESTRICTION ON THE USE OF RETIRED RECORDS	8
6200-10	PREPARATION OF RECORDS FOR STORAGE	9
6200-11	RETRIEVAL OF RECORDS	9

DISTRIBUTION: SECTION SUPERVISORS AND ABOVE
OPR: M:FMD:PB
REVIEW: 1997

**MANUAL OF ADMINISTRATION
PART II - GENERAL ADMINISTRATION
CHAPTER 6200 - DISPOSITION OF FMS RECORDS**

6200-01 PURPOSE

This Chapter establishes guidelines and procedures for the systematic reduction and retention of the Financial Management Service's (FMS) records and their retirement to a Federal Records Center (FRC). The retirement of inactive or non-current files from operating offices is essential to release high-cost space and equipment for the maintenance of current files. Records are considered inactive or non-current when they are referred to less than once a month per cubic foot of material involved. Disposition of records will be accomplished in accordance with approved disposition standards set forth in the FMS's Comprehensive Records Schedule, Exhibit A, and the General Records Schedules, Exhibit B.

6200-02 RETIREMENT OF RECORDS

- a. Requirement. Each Division, Branch, Section, and Regional Financial Center (RFC) within FMS is responsible for retiring its inactive records. A Records Coordinator will be appointed by each Division to carry out the duties as stated in Section 6000-03.02. If assistance is needed when retiring records, contact the Records Coordinator. If the Records Coordinator is unable to assist, contact the Programs Branch.

NOTE: RFC personnel should contact their Records Coordinator for specific instructions on the disposition of their records.

- b. Annual Housecleaning. An "Annual Housecleaning" of records on hand will be conducted to ensure records are retired or disposed of in accordance with approved disposition standards, thereby releasing high-cost office space and equipment for more efficient utilization.

6200-03 RECORDS RETENTION AND DISPOSAL SCHEDULES

- a. Records Control Schedule. The current Comprehensive Records Schedule, (Exhibit A), which supersedes all previous FMS schedules, identifies all of FMS's records, and contains instructions for the retention or disposal of these records. The application of this schedule, to provide for the orderly retirement and reduction of records in FMS, is mandatory as

prescribed in the National Archives and Records Administration's (NARA) regulation 36 C.F.R. Part 1228, "Disposition of Federal Records," Subpart B. The schedule was developed on a functional basis. The disposal authorities are applicable to specifically described records and their equivalents.

- b. Destruction of Records Not Listed on the Records Control Schedule. Records not listed in the current Comprehensive Records Schedule, or the General Records Schedules, shall be listed with proposed retention periods and sent to the Programs Branch for submission to the National Archives and Records Administration (NARA). Subsequent to approval by NARA, the records will be added to the Comprehensive Records Schedule. Unlisted records shall not be destroyed without such approval.
- c. General Records Schedules. These schedules, (Exhibit B), issued by NARA, govern the retention and disposal of records common to all agencies. These schedules are applicable to records of FMS except accountable officers' accounting records originating in the Operations Directorate, Regional Financial Centers (RFCs). The RFCs are to use the Comprehensive Records Schedule in disposing of this class of records.

6200-04 PREPARATION AND APPLICATION OF DISPOSAL LISTS AND SCHEDULES

It is the responsibility of each office to determine the applicable disposal authority covering records in its custody, and to ensure that the authority is properly applied.

- a. Regional Financial Centers Application. Although the retention period indicated after each class of records on the Comprehensive Records Schedule is the earliest date records may be destroyed, with respect to the RFCs, the actual disposal is to be made at the discretion of the Director of each RFC, provided it is subsequent to the expiration of the applicable retention period. The records may be destroyed either at the end of the designated retention period, or in the case of accounting records, at such time as there are no outstanding differences remaining in an account.
- b. Interference With Current Operations. Records should be disposed of and transferred during slack periods, if possible. The guiding rule should be to interfere as little as possible with current operations, but this does not preclude the "annual housecleaning" described in Section 6200-02.b.

6200-05 DISPOSITION OF BUREAU RECORDS

Disposition of FMS records will be accomplished in accordance with approved disposition standards set forth in the current Comprehensive Records Schedule or the General Records Schedules (GRS). These standards provide for the systematic retention, retirement, and destruction of all FMS records. In Headquarters, the Programs Branch will make necessary arrangements for the physical transfer of records from offices to the FRC; in RFC the Records Coordinator will make necessary arrangements for such transfers of records to the nearest FRC. In Headquarters, the following procedures shall apply:

- a. Transfer to the Federal Records Center (FRC). The transfer of records to the FRC requires the originating office to complete an SF-135, "Records Transmittal and Receipt" (Exhibit C), and if needed, SF-135A, "Continuation Sheet" (Exhibit D). The originating office should also complete a TFS 28, Transmittal Sheet - FMS's Records to be Transferred to the Federal Records Center" (Exhibit E). Instructions for completing these forms are listed in Section 6200-07.02. These forms serve to record the transfer of files to the FRC and provide an inventory sufficiently detailed to aid in the reference, retrieval and disposition of FMS records. NOTE: Records will not be sent to the FRC unless they have a retention period of one year or more remaining from the date of shipment to the FRC.
- b. Transfer of Records to the National Archives and Records Administration (NARA). The Programs Branch has the responsibility for transferring, to NARA, records of an historical and enduring value which are no longer required for conducting current business of FMS. After receiving such a request from the proponent, and prior to offering such records to NARA, the Records Management Officer will consult with appropriate Division and Office Heads to determine if any restrictions are to be imposed on the use of the records.
- c. Transfer of Records From One Federal Agency to Another. Transfers of records from one Federal agency to another, or between activities within FMS, must first be cleared through the Records Management Officer, Programs Branch.
- d. Transfer of Civilian Personnel Records. Civilian personnel records of employees separated from FMS will be maintained and serviced in accordance with established Office of Personnel Management regulations, and stored at the National Personnel Records Center, (Civilian Personnel Records), 111 Winnebago Street, St. Louis, Missouri, 63118.

- e. Removal of Papers by Departing Presidential Appointees With Senate (PAS) Confirmation and All Other Employees. Strictly personal and private documents may be removed from the files by departing PAS officials and all other employees. However, prior to removing any documents from Federal Government files, these individuals will ensure adherence to all statutory and regulatory limitations. A description of the types of records which may be removed, together with guidelines and regulations concerning the subject, are in the Department of the Treasury Directive 25-02 (TD 25-02), dated April 7, 1992, entitled "Records Disposition Management Program and Removal of Papers."
- f. Penalties for Unlawful Removal of Records Criminal penalties are provided for the unlawful removal or destruction of Federal records (19 U.S.C. 2071) and for the unlawful disclosure of certain information pertaining to national security (18 U.S.C. 641, 793, 794, 798, and 952).
- g. Destruction of Material. Records will be destroyed based on the dates indicated on TFS Form 28 or the SF-135. Divisions or Offices concerned will be notified by memorandum at least 30 days in advance that material in storage is scheduled for destruction.

When records which are being purged from offices are eligible for immediate destruction, that office will make necessary arrangements to dispose of the records in the proper manner, and most economical method. (If not sensitive or classified, the records may be disposed of as if they were trash). NOTE: The office must supply the Records Coordinator with the following information covering the destroyed records: a) description, b) disposal authority, and c) volume.

6200-06 DISPOSITION OF SPECIAL RECORDS

Special records are records maintained separately from regular paper records because their physical form or characteristics require unusual care or because they have nonstandard sizes. They include electronic, audiovisual, microfilm, etc. Some of these records are scheduled for disposal under authorities prescribed by GRS 20, 21 and 23. If disposal authority for these records is not covered by the GRS, the originating office is required to complete an SF 115 to schedule disposition of the records. Disposition requirements for special records are prescribed by NARA in 36 C.F.R. Section 1222 through 1234.

Special care should be taken to schedule disposition of electronic, audiovisual, and other special records maintained for the agency by contractors. The contract should clearly state the

Government's ownership of such records, and the agency must take physical possession of the records if they are needed by the Government.

FMS offices that are exploring the use of optical disk systems to store records or have already begun using optical disk systems should refer to NARA Bulletin 91-2, entitled "Use of Optical Disk Systems to Store Permanent Federal Records." The bulletin states NARA's policy and provides guidance regarding disposition of permanent and temporary records stored on optical disks.

6200-07 PREPARATION OF TRANSFER FORMS

The SF-135 and TFS 28 will be prepared by the originating office for records which are to be sent to the FRC. The SF-135, and SF-135A (if necessary), will identify records being transferred to the FRC, the office transferring the records, the volume, disposal authority, and disposition date. The TFS Form 28 will identify records in each box being transferred to the FRC as appropriate. For detailed instructions on completing SF-135 and TFS 28, see Sections 6200-07.02 and 6200-07.03. After paperwork is sent to the Programs Branch and approved, arrangements will be made by the Programs Branch to transfer records to the FRC. The Records Coordinator will initial the SF-135 and TFS 28 prior to submission to the Programs Branch, which will signify proper form preparation and packaging of material.

6200-07.01 Accession Number.

- a. Headquarters. Offices in Headquarters will obtain accession numbers from the Programs Branch. Information will be required as to the year records were created, scheduled date of destruction, security classification, FMS or General Accounting Office (Site Audit) records, number of boxes, the room number for pickup of the records, and the name and telephone number of the individual requesting the accession number.
- b. Regional Financial Centers (RFCs). Directors of RFCs will be notified of their accession numbers by the appropriate FRC after transmitting the SF-135.

6200-07.02 Requirements for Completing SF-135.

Each office will provide the requested information on an original SF-135 (and SF-135A, if needed). Forms may be obtained by requisition through the Property and Supply Section, Facilities Management Division. If there is an emergency need for forms, please contact the Programs Branch, Facilities Management Division. Instructions for completing the SF-135 follow:

Item #1. Enter the address of the appropriate FRC to which the records are being sent for storage (i.e., Washington National Records Center, Washington, DC 20409) as shown in Exhibit C.

Item #2. Enter the signature and title of a designated official within the originating office. The signature should be at the Section Supervisor's level and above.

Item #3. Enter the Manager's name, title and Branch's name and telephone number. The Program Branch Manager will sign and date the form.

Item #4. Leave this item blank. It will be completed and signed by an FRC official.

Item #5. The official name and address of the FMS is typed in this space. Use the address as shown in Exhibit D. Fill in the number of pages in the upper right hand corner of the SF-135.

Item #6.

- (a) Record Group #. Assigned to FMS by the NARA and should remain the same until further notice.
- (b) Fiscal Year. Indicates the Fiscal Year in which the records are being retired.
- (c) Number. Assigned by the Programs Branch. The originating office MUST call the Programs Branch to obtain this number.
- (d) Volume (cubic ft. of boxes). Total number of boxes being retired. Each regular size records center box is equivalent to one (1) cubic foot.
- (e) Agency box number. The inclusive box numbers of each series of records being transferred. The transferring office numbers each box of records sequentially in the following manner; i.e., for a shipment of 10 boxes, the boxes would be numbered 1/10, 2/10, 3/10 and so forth.
- (f) Series description. Include a brief description of the type of records that are being packed in FRC boxes and the year the records became inactive or closed. The description of the records must be comparable to the Comprehensive/General Records Schedule. (Note: each series of records should have a separate accession number and each accession number should be typed on a separate SF-135). Information about the Records Coordinator or Contact Person should also be included and typed several spaces below the description of the records.

- (g) Restriction code. Use the appropriate letter code on the back of the SF-135 to indicate the level of restriction on the use of the records. Levels of restrictions are listed and described on the back of the SF-135. To the maximum extent possible, this item will be marked with the lowest restriction feasible, consistent with the interests of national security, foreign policy, and Department regulations applicable under the Freedom of Information and Privacy Acts. DO NOT LEAVE THIS ITEM BLANK.
- (h) Disposal authority. Identify the records in either the Comprehensive Records Schedule or General Records Schedules. The item number in the schedules must correspond with the disposal authority (ex. GRS3/3a2 or NCI 425-78-1; item #547).
- (i) Disposal date. Enter month and year that the accession may be destroyed as computed from the schedule. NOTE: Records are destroyed four (4) times a year by the FRC: January, April, July and October. The destruction date of the records must be one of these months. (Example, if records are to be destroyed in December, you MUST carry the destruction date to January.)

Items #6j through 6m. Leave blank. These items will be completed by the FRC.

6200-07.03 Requirements for Completing TFS Form 28.

Forms may be obtained through the Property and Supply Section. This form will be used to accomplish two main functions:

- a. To record the transfer of records to the FRC; and,
- b. To identify records in each box included in the accessions listed on the accompanying SF-135.

NOTE: LIST ONLY ONE ACCESSION NUMBER ON EACH TFS FORM 28.

The following instructions will be followed when completing each item on the TFS Form 28:

- a. In the upper right hand corner, indicate the number of pages used to identify an individual accession (e.g. 1 of 1, 1 of 2, or 2 of 2);
- b. Custodian of Files - Give name, room and telephone number of individual actually transferring the records, (not the Branch Manager or Division Director);

- c. Division and Branch - List name of office shipping the records,
- d. Date - Give date of preparation of form;
- e. Forward to FRC - (Accession No.) - Fill in appropriate accession number;
- f. Boxes - list the total number of boxes in the accession;
- g. Disposal Authority - List appropriate authority covering disposal of the records. (Only one authority may apply to an accession number);
- h. Box No. and Title - List each box in the accession and give a brief description of information which will facilitate retrieval of items from the accession;
- i. Destruction Date - Give the one proper date of destruction applicable to the entire accession. (Only one disposal date may apply to an accession number);
- j. Date and Signature of Manager - Leave this item blank.

6200-08 DISTRIBUTION OF SF-135 AND TFS FORM 28

After the SF-135 and TFS 28 have been initialed by the Records Coordinator, the original SF-135, and the original TFS 28, will be forwarded to the Records Management Officer for approval. (NOTE: Directors of Disbursing Centers will forward only the original and 2 copies of the SF-135 to the appropriate FRC). Arrangements will be made by the Programs Branch to transfer records to the FRC. A copy of each form will be retained by the originating office. When the FRC receives the records, a copy of the SF-135 will be returned to the Programs Branch Manager and forwarded to the originating office noting the location at the FRC. Maintain this copy because the location number will be necessary for retrieval requests.

6200-09 RESTRICTIONS ON THE USE OF RETIRED RECORDS

Any restrictions lawfully imposed by FMS (item 6g, SF-135) on the use of transferred records will be observed and enforced by NARA and the FRC. Only authorized FMS representatives may gain access to retired records, unless they fall under the purview of the Freedom of Information Act.

6200-10 PREPARATION OF RECORDS FOR STORAGE

Records will be placed in one cubic foot boxes. (Boxes may be obtained by contacting the Property and Supply Section). NOTE: DO NOT MIX SITE AUDIT AND BUREAU RECORDS IN THE SAME CONTAINERS.

(Site audit records are those which are to be made available for audit on site by personnel from the General Accounting Office). One standard FRC box or carton will hold one cubic foot of record material. If other than one cubic foot boxes are to be used, approval must be granted by the FRC (through the Programs Branch) prior to packaging. If records will not fit into a one cubic foot box, contact the Programs Branch.

- a. Packing. Without disturbing the existing filing arrangements, pack the records in a one cubic foot box in an upright position to preclude movement or damage in transit. After the records have been packed, the box should be closed by interlocking the top flaps. DO NOT SEAL THE TOP OF THE BOX. NOTE: Do not indicate security classification on the outside of the box. Records classified pursuant to E.O. 12356 shall be shipped by special means by the Programs Branch, commensurate with the security classification of the record group.
- b. Assembling. Securely fasten the bottom of the box with one-inch wide nylon tape placed lengthwise on the outside of the box and extending at least two inches up each side for extra strength.
- c. Box Identification. Boxes must be labeled so that they may be identified by the accession numbers and by box numbers. The accession number(s) should be written in the upper left hand corner and box number(s) in the upper right hand corner of the box(es). The box number indicates the total number of boxes to an accession and should be numbered consecutively (e.g., 1/4, 2/4, 3/4, 4/4, etc.) The numbers must be legible and written with a bold black marker. DO NOT WRITE ANYTHING ELSE ON THE BOX(ES) OR THE FRC WILL NOT ACCEPT THE RECORDS.

6200-11 RETRIEVAL OF RECORDS

Retired records may be retrieved from the FRC by the originating office. When there is no longer an immediate need for the withdrawn records, they will be returned to the FRC.

- a. Retrieval of Records from the FRC. Arrangements MUST be made through the Programs Branch for the retrieval of records from, or return of records to, the FRC. The request for retrieval must include:
 1. Accession number, and shelf location as shown on the SF-135;
 2. Box number as shown on TFS Form 28; and,
 3. Requester's name, phone number, name of office, and room number and address.